### € apy for the Elected Office (EO/US)

### PANENT COOPERATION TREAT.

	From the INTERNATIONAL BUREAU		
PCT	То:		
NOTIFICATION OF THE RECORDING OF A CHANGE  (PCT Rule 92bis.1 and Administrative Instructions, Section 422)  Date of mailing (day/month/year) 31 October 2001 (31.10.01)	VANTICO AG Patents/Scientific Information Klybeckstrasse 200 CH-4057 Basel SUISSE		
Applicant's or agent's file reference			
AT/K-22036/A/MA 2181	IMPORTANT NOTIFICATION		
International application No. PCT/EP00/05170	International filing date (day/month/year) 06 June 2000 (06.06.00)		
The following indications appeared on record concerning:      X the applicant      X the inventor	the agent the common representative		
Name and Address	State of Nationality State of Residence DE GB		
RABENER, Claus, Willi 12 St. George's Court Cavendish Avenue Cambridge	Telephone No.		
Cambridge Cambs CB1 7UP United Kingdom	Facsimile No.		
	Teleprinter No.		
2. The International Bureau hereby notifies the applicant that the	he following change has been recorded concerning:		
the person the name X the add	dress the nationality the residence		
Name and Address	State of Nationality State of Residence DE GB		
RABENER, Claus, Willi Schmiedackerstrasse 21 79576 Weil am Rhein	Telephone No.		
GERMANY	Facsimile No.		
	Teleprinter No.		
3. Further observations, if necessary:			
4. A copy of this notification has been sent to:			
X the receiving Office	the designated Offices concerned		
the International Searching Authority	X the elected Offices concerned		
X the International Preliminary Examining Authority	other:		
The least state of the state of	Authorized officer		
The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20 Switzerland	Maria Victoria CORTIELLO		
1211 Geneva 20, Switzerland Facsimile No.: (41-22) 740.14.35	Telephone No.: (41-22) 338.83.38		

Form PCT/IB/306 (March 1994)

#### PAILINT COOPERATION TREAT

#### From the INTERNATIONAL BUREAU

#### **PCT**

#### **NOTIFICATION OF ELECTION**

(PCT Rule 61.2)

Commissioner
US Department of C

US Department of Commerce United States Patent and Trademark Office, PCT 2011 South Clark Place Room

CP2/5C24

Arlington, VA 22202

ETATS-UNIS D'AMERIQUE

in its capacity as elected Office

Date of mailing (da	y/month	/year)
12 February	2001	(12.02.01)

International application No. PCT/EP00/05170

International filing date (day/month/year) 06 June 2000 (06.06.00)

Applicant's or agent's file reference AT/K-22036/A/MA 2181

Priority date (day/month/year)
12 June 1999 (12.06.99)

#### Applicant

HATTON, Kevin, Brian et al

	1.	The designated Office is hereby notified of its election made:
1		X in the demand filed with the International Preliminary Examining Authority on:
l		19 December 2000 (19.12.00)
		in a notice effecting later election filed with the International Bureau on:
	2.	The election X was
		was not
ļ		made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).
١		
١		
I		

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland **Authorized officer** 

S. Mafla

Facsimile No.: (41-22) 740.14.35

Telephone No.: (41-22) 338.83.38

## (19) World Intellectual Property Organization International Bureau



### 

(43) International Publication Date 21 December 2000 (21.12.2000)

**PCT** 

# (10) International Publication Number WO 00/77066 A3

(51) International Patent Classification7:

- (21) International Application Number: PCT/EP00/05170
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6 June 2000 (06.06.2000)

(25) Filing Language:

English

C08G 59/68

(26) Publication Language:

English

(30) Priority Data:

9913627.7

12 June 1999 (12.06.1999) GB

- (71) Applicant (for all designated States except US): VAN-TICO AG [CH/CH]; Patent/Scientific Information, Klybeckstrasse 200, CH-4057 Basel (CH).
- (72) Inventors; and
- (75) Inventors/Applicants (for US only): HATTON, Kevin, Brian [GB/GB]; 28 Rushleigh Green, Bishops Stortford, Hertfordshire CM23 4JH (GB). BARKER, Pauline, Goodall [GB/GB]; 16 Sternes Way, Stapleford, Cambridge CB2 5DA (GB). RABENER, Claus, Willi [DE/GB]; 12 St. George's Court, Cavendish Avenue, Cambridge, Cambs CB1 7UP (GB).
- (74) Common Representative: VANTICO AG: Patents/Scientific Information, Klybeckstrasse 200, CH-4057 Basel (CH).

- (81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.
- (84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

#### Published:

- With international search report.
- Before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments.
- (88) Date of publication of the international search report: 8 February 2001

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

7 990/2/00

(54) Title: PROCESS FOR THE PREPARATION OF REACTION PRODUCTS OF CYCLOALIPHATIC EPOXIDES WITH MULTIFUNCTIONAL HYDROXY COMPOUNDS

(57) Abstract: The invention relates to the process for the preparation of liquid reaction products of cycloaliphatic epoxides with mono- or multifunctional hydroxy compounds. The process comprises reacting a polyfunctional cycloaliphatic epoxy resin with a mono- or a multifunctional hydroxy compound in the presence of a heterogeneous surface-active catalyst. The invention also relates to curable compositions containing the product obtained by the process.

From the INTERNATIONAL BUREAU

# NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION TO THE DESIGNATED OFFICES

(PCT Rule 47.1(c), first sentence)

To: VANTICO AG
Patents/Scientific Information TM/SI LE 5 Klybeckstrasse 200
CH-4057 Basel
Jan 2004 23
8

IMPORTANT NOTICE

Date of mailing (day/month/year)

21 December 2000 (21.12.00)

Applicant's or agent's file reference

AT/K-22036/A/MA 2181

International application No.
PCT/EP00/05170

International filing date (day/month/year)
06 June 2000 (06.06.00)

Priority date (day/month/year)
12 June 1999 (12.06.99)

**Applicant** 

VANTICO AG et al

(=GB/91)

 Notice is hereby given that the International Bureau has communicated, as provided in Article 20, the international application to the following designated Offices on the date indicated above as the date of mailing of this Notice: AG,AU,DZ,KP,KR,MZ,US

In accordance with Rule 47.1(c), third sentence, those Offices will accept the present Notice as conclusive evidence that the communication of the international application has duly taken place on the date of mailing indicated above and no copy of the international application is required to be furnished by the applicant to the designated Office(s).

2. The following designated Offices have waived the requirement for such a communication at this time:

AE,AL,AM,AP,AT,AZ,BA,BB,BG,BR,BY,CA,CH,CN,CR,CU,CZ,DE,DK,DM,EA,EE,EP,ES,FI,GB,GD,GE,GH,GM,HR,HU,ID,IL,IN,IS,JP,KE,KG,KZ,LC,LK,LR,LS,LT,LU,LV,MA,MD,MG,MK,MN,MW,MX,NO,NZ,OA,PL,PT,RO,RU,SD,SE,SG,SI,SK,SL,TJ,TM,TR,TT,TZ,UA,UG,UZ,VN,YU,ZA,ZW The communication will be made to those Offices only upon their request. Furthermore, those Offices do not require the applicant to furnish a copy of the international application (Rule 49.1(a-bis)).

 Enclosed with this Notice is a copy of the international application as published by the International Bureau on 21 December 2000 (21.12.00) under No. WO 00/77066

#### REMINDER REGARDING CHAPTER II (Article 31(2)(a) and Rule 54.2)

If the applicant wishes to postpone entry into the national phase until 30 months (or later in some Offices) from the priority date, a demand for international preliminary examination must be filed with the competent International Preliminary Examining Authority before the expiration of 19 months from the priority date.

It is the applicant's sole responsibility to monitor the 19-month time limit.

Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination.

#### REMINDER REGARDING ENTRY INTO THE NATIONAL PHASE (Article 22 or 39(1))

If the applicant wishes to proceed with the international application in the national phase, he must, within 20 months or 30 months, or later in some Offices, perform the acts referred to therein before each designated or elected Office.

For further important information on the time limits and acts to be performed for entering the national phase, see the Annex to Form PCT/IB/301 (Notification of Receipt of Record Copy) and Volume II of the PCT Applicant's Guide.

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Authorized officer

J. Zahra

Facsimile No. (41-22) 740.14.35

Telephode No. (41-22) 338.83.38

# 10/018667

## **PCT**

### INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's dr agent's file reference	(Form PCT/ISA	n of Transmittal of International Search Report V220) as well as, where applicable, item 5 below.	
AT/K-22036/A/MA 2181	ACTION		
International application No.	International filing date (day/month/year)	(Earliest) Priority Date (day/month/year)	
PCT/EP 00/ 05170 06/06/2000 12/06/1999			
Applicant			
VANTICO AG			
This International Search Report has bee according to Article 18. A copy is being tr	en prepared by this International Searching A cansmitted to the International Bureau.	authority and is transmitted to the applicant	
This International Search Report consists  It is also accompanied by	s of a total of sheets. y a copy of each prior art document cited in the	his report.	
1. Basis of the report			
a. With regard to the language, the language in which it was filed, ur	e international search was carried out on the nless otherwise indicated under this item.	basis of the international application in the	
the international search Authority (Rule 23.1(b)).		of the international application furnished to this	
b. With regard to any nucleotide	nd/or amino acid sequence disclosed in the	e international application, the international search	
was carried out on the basis of the contained in the internat	ional application in written form.		
filed together with the international application in computer readable form.			
furnished subsequently to this Authority in written form.			
furnished subsequently to this Authority in computer readble form.			
the statement that the s	ubsequently furnished written sequence listin as filed has been furnished.	ng does not go beyond the disclosure in the	
		m is identical to the written sequence listing has been	
2. Certain claims were to	ound unsearchable (See Box I).		
3. Unity of invention is la	acking (see Box II).		
4. With regard to the title,			
	submitted by the applicant.		
	olished by this Authority to read as follows:		
5. With regard to the abstract,			
X the text is approved as	submitted by the applicant.	the side and because to the cut. The confidence was	
the text has been estate within one month from	blished, according to Rule 38.2(b), by this Au th date of mailing of this international searc	thority as it appears in Box III. The applicant may, h report, submit comments to this Authority.	
6. The figur of the drawings to be p	ublished with the abstract is Figure No.		
as suggested by the a	oplicant.	X None of the figures.	
1 —	failed to suggest a figur .		
becaus this figure be	tter characterizes the invention.		

### INTERNATIONAL SEARCH REPORT

A. CLASSIFICATION OF SUBJECT MATTER IPC 7 C08G59/68

According to International Patent Classification (IPC) or to both national classification and IPC

#### B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols) IPC 7 / COSG

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 4 115 295 A (ROBINS JANIS ET AL) 19 September 1978 (1978-09-19)	11-15
A	column 4, line 36 to column 5, line 21 column 5, line 64-66; claim 11	1–10
X	US 3 398 102 A (SOLDATOS ANTHONY C ET AL) 20 August 1968 (1968-08-20)	11-15
A	claim 2; example 1	1-10
X	EP 0 493 916 A (CIBA GEIGY AG) 8 July 1992 (1992-07-08)	11-15
Α	page 4, line 1-5; example 9	1-10
A	US 5 316 106 A (BAEDKE WILLIAM D ET AL) 31 May 1994 (1994-05-31) the whole document	1-15
	-/	

Further documents are listed in the continuation of box C.	Patent family members are listed in annex.
*Special categories of cited documents:      *A* document defining the general state of the art which is not considered to be of particular relevance      *E* earlier document but published on or after the international filing date      *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)      *O* document referring to an oral disclosure, use, exhibition or other means      *p* document published prior to the international filing date but later than the priority date claimed	<ul> <li>'T' later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</li> <li>'X' occument of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone</li> <li>'Y' document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.</li> <li>'&amp;' document member of the same patent family</li> </ul>
Date of the actual completion of the international search	Date of mailing of the international search report
7 December 2000	14/12/2000
Name and mailing address of the ISA  European Patent Office, P.B. 5818 Patentlaan 2  NL - 2280 HV Rijswijk  Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  Fax: (+31-70) 340-3016	Authorized officer  Rousseau, F



PCT/LF 00/05170

Category *	ction) DOCUMENTS CONSIDERED TO BE RELEVANT  Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	EP 0 105 488 A (UNION CARBIDE CORP) 18 April 1984 (1984-04-18) the whole document	1-15
	-	

#### INTERNATIONAL SEARCH REPORT

patent family members

PCT, L. 00/05170

Patent document cited in search repor	t	Publication date	Patent family member(s)	Publication date
US 4115295	Α	19-09-1978	NONE	
US 3398102	Α	20-08-1968	NONE	*******
EP: 0493916	A	08-07-1992	BR 9105435 A DE 69125131 D DE 69125131 T ES 2099142 T JP 4314719 A KR 210258 B US 5362835 A	22-09-1992 17-04-1997 30-10-1997 16-05-1997 05-11-1992 15-07-1999 08-11-1994
US 5316106	Α	31-05-1994	NONE	
EP 0105488	A	18-04-1984	AU 566647 B AU 1974183 A JP 1445497 C JP 59081329 A JP 62054338 B MX 168518 B NO 833537 A,B, US 4532274 A	29-10-1987 05-04-1984 30-06-1988 11-05-1984 14-11-1987 27-05-1993 02-04-1984 30-07-1985



# **PCT**

### INTERNATIONAL PRELIMINARY EXAMINA

REC'D 1 0 JUL 2001 ATION REPORT WPO PCT

(PCT Article 36 and Rule 70)

AT/K-22036/PCT/A/MA  FOR FURTHER ACTION  See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/4:  International application No.  PCT/EP00/05170  International Patent Classification (IPC) or national classification and IPC  C08G59/68	6)				
PCT/EP00/05170 06/06/2000 12/06/1999  International Patent Classification (IPC) or national classification and IPC					
International Patent Classification (IPC) or national classification and IPC					
Applicant					
VANTICO AG et al.					
This international preliminary examination report has been prepared by this International Preliminary Examining Aurand is transmitted to the applicant according to Article 36.	nority				
2. This REPORT consists of a total of 5 sheets, including this cover sheet.					
<ul> <li>This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</li> <li>These annexes consist of a total of sheets.</li> </ul>					
3. This report contains indications relating to the following items:					
I ⊠ Basis of the report					
II □ Priority					
_					
II Priority					
II Priority III Prority III Priority					
<ul> <li>II □ Priority</li> <li>III □ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV □ Lack of unity of invention</li> <li>V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability;</li> </ul>					
<ul> <li>II □ Priority</li> <li>III □ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV □ Lack of unity of invention</li> <li>V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations suporting such statement</li> </ul>					
II □ Priority III □ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability IV □ Lack of unity of invention V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations suporting such statement VI □ Certain documents cited					
II □ Priority III □ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability IV □ Lack of unity of invention V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations suporting such statement VI □ Certain documents cited VII □ Certain defects in the international application					
II □ Priority III □ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability IV □ Lack of unity of invention V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations suporting such statement VI □ Certain documents cited VII □ Certain defects in the international application VIII ☒ Certain observations on the international application					
III	Extraction of the state of the				

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP00/05170

i.	Ba	sis of the r port	
1.	the and	receiving Office in	ments of the international application (Replacement sheets which have been furnished to response to an invitation under Article 14 are referred to in this report as "originally filed" to this report since they do not contain amendments (Rules 70.16 and 70.17)):
	1-1	7	as originally filed
	Cla	ims, No.:	
	1-1	5	as originally filed
2.		_	guage, all the elements marked above were available or furnished to this Authority in the international application was filed, unless otherwise indicated under this item.
	The	ese elements were a	available or furnished to this Authority in the following language: , which is:
		the language of a	translation furnished for the purposes of the international search (under Rule 23.1(b)).
		Ŧ -	ublication of the international application (under Rule 48.3(b)).
			translation furnished for the purposes of international preliminary examination (under Rule
3.			eleotide and/or amino acid sequence disclosed in the international application, the y examination was carried out on the basis of the sequence listing:
		contained in the in	ternational application in written form.
		filed together with	the international application in computer readable form.
		furnished subsequ	ently to this Authority in written form.
		furnished subsequ	ently to this Authority in computer readable form.
			t the subsequently furnished written sequence listing does not go beyond the disclosure in oplication as filed has been furnished.
		The statement tha listing has been fu	t the information recorded in computer readable form is identical to the written sequence rnished.
4.	The	amendments have	resulted in the cancellation of:
		the description,	pages:
		the claims,	Nos.:
		the drawings,	sheets:
5.			en established as if (some of) the amendments had not been made, since they have been eyond the disclosure as filed (Rule 70.2(c)):

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP00/05170

(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)

- 6. Additional observations, if necessary:
- V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- 1. Statement

Novelty (N)

Yes:

Claims 1-10

No:

Claims 11-15 Claims 1-10

Inventive step (IS)

Yes: No:

Claims

Industrial applicability (IA)

Yes:

Claims 1-15

No: Claims

2. Citations and explanations see separate sheet

#### VIII. Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made: see separate sheet

1. US-A-4 115 295 (D1) discloses in claim 11 the reaction product of 3,4epoxycyclohexylmethyl-3,4-epoxycyclohexene carboxylate with a hydroxy compound having a functionality of at least 1, wherein the ratio of equivalents of hydroxyl-containing material to equivalents of epoxide may be in the range of 0.3: 1 to 1.5 to 1 and even as low as 0.001: 1 (see column 5, lines 64-66). A list of suitable hydroxy compounds having a functionality of at least 1 is disclosed in the passage from column 4, line 36 to column 5, line 21. For low ratios of equivalents of hydroxyl-containing material to equivalents of epoxide, especially when monofunctional hydroxy compounds are used, liquid products having an epoxide content greater than 0.1 mol/kg should be obtained. Hence, the subject-matter of claims 11 to 15 is deemed to lack novelty in view of D1 (Art. 33(2) PCT). The subject-matter of claim 11 also lacks novelty in view of example 47 of D1.

US-A-3 398 102 (D2) discloses in claim 2 the reaction product of 1 mole bis(2,3epoxycyclopentyl)ether with 0.2 to 3 moles of a polyol. The polyol may be according to example 1 ethylene glycol. When 0.2 mole of ethylene glycol and 1 mole of bis(2,3-epoxycyclopentyl)ether is used, a liquid product having an epoxide content greater than 0.1 mol/kg should be obtained. Thus, the subject-matter of claims 11 to 15 is anticipated by D2 (Art. 33(2) PCT).

EP-A-0 493 916 (D3) discloses in example 9 and in page 4, lines 1 to 5 an epoxyterminated material obtainable by reacting a cycloaliphatic epoxide with a multifunctional hydroxy compound, said epoxy-terminated material having an epoxide content of 2,36 mol/kg. Therefore, the subject-matter of claims 11 to 15 is not novel over D3 (Art. 33(2) PCT).

2. The search has not revealed any document disclosing the preparation of liquid product resulting from the reaction of a polyfunctional cycloaliphatic epoxide with multifunctional hydroxy compounds, using a heterogeneous surface-active catalyst selected from the list defined in present claim 1. Hence, the subjectmatter of claims 1 to 10 meets the requirements of Art. 33(2) PCT. Closest prior art for analysis of inventive step is D3. The technical problem solved by the use of the above catalysts can be seen as to provide a further process for the preparation of the epoxide material obtained in D3. The search has not revealed any document which renders obvious that activated aluminum hydroxide,

**EXAMINATION REPORT - SEPARATE SHEET** 

hydrated aluminum oxide, amorphous silica, activated carbon and cationic exchange resins are efficient heterogeneous surface-active catalysts for the preparation of products as defined in present claim 1. Consequently, the subjectmatter of claims 1 to 10 appears to be inventive (Art. 33(3) PCT).

- 3. The subject-matter of claims 1 to 15 is industrially applicable.
- 4. The epoxy compound used must be according to claim 1 a polyfunctional cycloaliphatic epoxide and therefore cannot have the structure (I) as defined in page 2 of the description (Art. 6 PCT).